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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT (\$)** 180

## Complete If Known

Application Number	10/081,424
Filing Date	February 22, 2002
First Named Inventor	Jan ISAKSSON
Examiner Name	J. Mitchell
Group Art Unit	2827
Attorney Docket No.	23027

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APR 9 2003  
TECHNOLOGY CENTER 28

## METHOD OF PAYMENT (check all that apply)

Check ☒ Credit Card ☐ Money Order ☐ Other ☐ None

Deposit Account:

Deposit Account Number 50-1936

Deposit Account Name Law Office of Lawrence E. Laubscher, Jr.

The Commissioner is authorized to: (check all that apply)

Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fees(s) during the pendency of this application

Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	750	2001	375	Utility filing fee	
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
<b>SUBTOTAL (1)</b>					<b>0</b>

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	11	- 20** =	0	X	Fee from below	=	Fee Paid
Independent Claims	2	- 3** =	0	X		=	
Multiple Dependent						=	

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	84	2201	42	Independent claims in excess of 3	
1203	280	2203	140	Multiple dependent claim, if not paid	
1204	84	2204	42	**Reissue independent claims over original patent	
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent	
<b>SUBTOTAL (2)</b>					<b>0</b>

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	2053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1/17(q)	
1806	180	1806	180	Submission of Information Disclosure Statement	180
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	2809	375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
Other Fee (specify)					
<b>SUBTOTAL (3)</b>					<b>180</b>

\*Reduced by Basic Filing Fee Paid

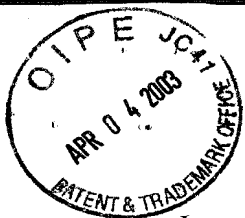
## SUBMITTED BY

Name (Print/Type)	Lawrence E. Laubscher, Jr.	Registration No.	28,233	Telephone	410-280-6608
Signature		Date	March 27, 2003		

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Jan ISAKSSON

Group Art Unit: 2827

Application No. 10/081,424

Examiner: Mitchell, James M.

Filed: February 22, 2002

For: ACTIVE OPTICAL DEVICE

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**INFORMATION DISCLOSURE STATEMENT**  
(SUBMISSION AFTER FILING OF AN APPLICATION BUT  
BEFORE FINAL REJECTION OR NOTICE OF ALLOWANCE)

GAU 2827  
Commissioner for Patents  
Washington D.C. 20231

Sir:

Pursuant to 37 CFR §§ 1.97 and 1.98, applicant(s) hereby submit(s) an Information Disclosure Statement for consideration by the Examiner.

I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION

The patents, publications or other information submitted for consideration by the Office are listed on PTO-1449, attached hereto.

II. COPIES

- X Submitted herewith is a legible copy of (i) each U.S. and foreign patent; (ii) each publication or that portion which caused it to be listed; and (iii) all other information or that portion which caused it to be listed.

III. CONCISE EXPLANATION OF THE RELEVANCE  
(check at least one box)

- a. X Except as may be indicated below in (b), all of the patents, publications or other information are in the English language or were cited in an English language Search Report, a copy of which is attached hereto (concise explanation not required).
- b.    A concise explanation of the relevance of all patents, publications or other information listed that is not in the English language is as follows:
- c.    The following additional information is provided for the Examiner's consideration.

04/08/2003 WABELR1 00000109 10081424

180.00 BP

01 FC:1806

IV. ☐ THIS IDS IS BEING FILED UNDER 37 CFR § 1.97(b):  
(check one box)

- a. ☐ within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d) (37 CFR § 1.97(b)(1)). No fee or certification is required.
- b. ☐ within three months of the date of entry of the national stage as set forth in § 1.491 in an international application (37 CFR § 1.97(b)(2)). No fee or certification is required.
- c. ☐ before the mailing of a first Office action on the merits (37 CFR § 1.97(b)(3)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 CFR § 1.97(c) and see the certification under 37 CFR § 1.97(e) below, or, if no certification has been made, charge our deposit account a fee in the amount of \$180 as required by 37 CFR § 1.17(p).
- d. ☐ before the mailing of a first Office action after the filing of a request for continued examination under § 1.114 (37 CFR § 1.97(b)(4)). No fee or certification is required.

V. ☒ THIS IDS IS BEING FILED UNDER 37 CFR § 1.97(c):  
(check one box)

before the mailing date of a final action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application.

- a. ☒ No certification; therefore, a fee in the amount of \$180 is required by 37 CFR § 1.17(p);
- or
- b. ☐ See the certificate below. No fee is required.

VI. ☐ THIS IDS IS BEING FILED UNDER 37 CFR § 1.97(d):  
(check one box)

after the mailing date of a final action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application, and is filed on or before payment of the issue fee and is accompanied by:

- a. ☐ The statement specified in paragraph 1.97(e); and
- b. ☐ The fee set forth in § 1.17(p).

VII. STATEMENT UNDER 37 CFR § 1.97(e):  
(check only one box)

The undersigned hereby states that

- a. ☐ each item of information contained in the IDS was first cited in any communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or

- b. ☐ no item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the IDS was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of this statement.

VIII. PAYMENT OF FEES (check one box)

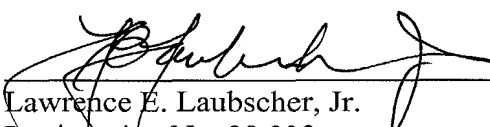
- ☐ A check in the amount of \$180 is enclosed for the above-identified fee.
- ☒ Submitted herewith is a Credit Card Payment Form authorizing a charge in the amount of \$180 for the above-indicated fee. This paper is filed in duplicate.
- ☐ No fee is required.

If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule (with a petition if necessary) and charge the appropriate fee to Deposit Account No. 50-1936.

Please charge any additional fees or credit any overpayment pursuant to 37 CFR § 1.16 or 1.17 to Deposit Account No. 50-1936.

Respectfully submitted,

March 27, 2003

  
Lawrence E. Laubscher, Jr.  
Registration No. 28,233  
1160 Spa Road, Suite 2B  
Annapolis, Maryland 21403  
Telephone: (410) 280-6608

Enclosures: ☒ PTO-1449  
☒ References  
☒ Foreign Search Report  
☒ Fee  
☐ Other:

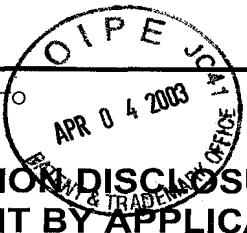
**CERTIFICATE OF MAILING**

I hereby certify that this **INFORMATION DISCLOSURE STATEMENT** and the documents noted as submitted herewith are being deposited with the United States Postal Service as first class mail in an envelope addressed to: Group Art Unit 2827, Commissioner for Patents, Washington D.C. 20231 on March 27, 2003.

Shelly Hubbard

Signature





Substitute for form 1449A/P.T.O.

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Complete If Known

Application Number	10/081,424
Filing Date	February 22, 2002
First Named Inventor	Jan ISAKSSON
Group Art Unit	2827
Examiner Name	J. Mitchell
Attorney Docket No.	23027

Sheet 1 of 1

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document No.	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Relevant Figs. Appear
		5,416,872	Sizer II et al.	05-16-1995	
		5,574,814	Noddings et al.	11-12-1996	
		5,917,976	Yamaguchi	06-29-1999	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>4</sup>
		Office <sup>2</sup>	Number <sup>3</sup>				
		DE	196 43 911	Sick AG	10-30-1996		

**OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>4</sup>
		Wipiejewski et al, "Efficient Alignment Tolerant Coupling of Vertical-Cavity Lasers to Single-Mode Fibers", Proceedings of The European Conference on Sep. 12-16, 1993, Regular Papers, Zurich, Vol. 2, Conf. 19, Pages 333-336	
		Duthie et al., "Passively Aligned Four-Channel Reflective InP MQW Modulator Transmitter", Electronics Letters, July 6, 1999, IEE Stevenage, GB, Vol. 31, NR. 14, Pages 1177-1179	
		Holm et al., "Through-Etched Silicon Carriers for Passive Alignment of Optical Fibers to Surface-Active Optoelectronic Components", Sensors and Actuators A, Elsevier Sequoia S.A., Lausanne, CH, Vol. 82, Nr. 1-3, Pages 245-248	
		Morozov et al., "Tolerance Analysis for Three-Dimensional Optoelectronic Systems Packaging", Optical Engineering, Soc. of Photo-Optical Instrumentation Engineers, Bellingham, US, Vol. 35, Nr. 7, Pages 2034-2043	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup>Applicant is to place a check mark here if English language translation is attached.

\\Station3\Patent\document\23027.ids.wpd



P.B.5818 - Patentlaan 2  
2280 HV Rijswijk (ZH)  
☎ +31 70 340 2040  
TX 31651 epo nl  
FAX +31 70 340 3016

Europäisches  
Patentamt

Zweigstelle  
in Den Haag  
Recherchen-  
abteilung

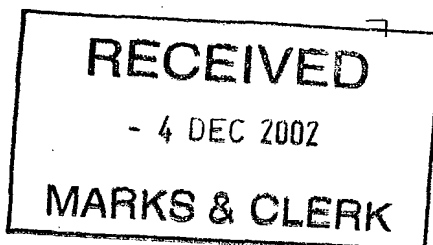
European  
Patent Office

Branch at  
The Hague  
Search  
division

Office européen  
des brevets

Département à  
La Haye  
Division de la  
recherche

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4220 Nash Court  
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Oxford OX4 2RU  
GRANDE BRETAGNE



Datum/Date  
29.11.02

Zeichen/Ref./Réf. <b>RPH.P51495EP</b>	Anmeldung Nr./Application No./Demande n°/Patent Nr./Patent No./Brevet n°. <b>02251248.7-2205-</b>
Anmelder/Applicant/Demandeur/Patentinhaber/Proprietor/Titulaire <b>Zarlink Semiconductor AB</b>	

## COMMUNICATION

The European Patent Office herewith transmits as an enclosure the European search report for the above-mentioned European patent application.

If applicable, copies of the documents cited in the European search report are attached.

☐ Additional set(s) of copies of the documents cited in the European search report is (are) enclosed as well.

The following specifications given by the applicant have been approved by the Search Division:

☒ abstract

☒ title

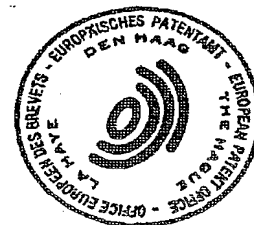
☐ The abstract was modified by the Search Division and the definitive text is attached to this communication.

The following figure will be published together with the abstract:

4

## REFUND OF THE SEARCH FEE

If applicable under Article 10 Rules relating to fees, a separate communication from the Receiving Section on the refund of the search fee will be sent later.





European Patent  
Office

# EUROPEAN SEARCH REPORT

Application Number  
EP 02 25 1248

DOCUMENTS CONSIDERED TO BE RELEVANT			
Category	Citation of document with indication, where appropriate, of relevant passages	Relevant to claim	CLASSIFICATION OF THE APPLICATION (Int.Cl.7)
X	US 5 416 872 A (SIZER II THEODORE ET AL) 16 May 1995 (1995-05-16)	1,3	G02B6/42 H01L21/58 H01L21/60
Y	* column 1 - column 6; figures 2,6 *	2,4-23	
Y	US 5 574 814 A (NODDINGS KENNETH C ET AL) 12 November 1996 (1996-11-12) * column 3, line 60 - column 6, line 24; figure 1 *	2,4-23	
X	WIPIEJEWSKI T ET AL: "EFFICIENT ALIGNMENT TOLERANT COUPLING OF VERTICAL-CAVITY LASERS TO SINGLE-MODE FIBERS", PROCEEDINGS OF THE EUROPEAN CONFERENCE ON OPTICAL COMMUNICATION (ECOC) MONTREUX, SEPT. 12 - 16, 1993. REGULAR PAPERS, ZURICH, SEV, CH, VOL. VOL. 2 CONF. 19, PAGE(S) 333-336 XP000492234 * page 333; figure 1 *	1	
X	US 5 917 976 A (YAMAGUCHI TAKASHI) 29 June 1999 (1999-06-29) * column 9, line 61 - column 11, line 47; figures 1,2 *	1	TECHNICAL FIELDS SEARCHED (Int.Cl.7) G02B H01L
X	DUTHIE P J ET AL: "Passively aligned four-channel reflective InP MQW modulator transmitter", ELECTRONICS LETTERS, IEE STEVENAGE, GB, VOL. 31, NR. 14, PAGE(S) 1177-1179 XP006003082 ISSN: 0013-5194 * the whole document *	1	
-/--			
The present search report has been drawn up for all claims			
Place of search MUNICH		Date of completion of the search 15 November 2002	Examiner Anderson, C
<b>CATEGORY OF CITED DOCUMENTS</b> X : particularly relevant if taken alone Y : particularly relevant if combined with another document of the same category A : technological background O : non-written disclosure P : intermediate document T : theory or principle underlying the invention E : earlier patent document, but published on, or after the filing date D : document cited in the application L : document cited for other reasons & : member of the same patent family, corresponding document			

1

EPO FORM 1503 03.82 (P04C01)



DOCUMENTS CONSIDERED TO BE RELEVANT			
Category	Citation of document with indication, where appropriate, of relevant passages	Relevant to claim	CLASSIFICATION OF THE APPLICATION (Int.Cl.7)
X	HOLM J ET AL: "Through-etched silicon carriers for passive alignment of optical fibers to surface-active optoelectronic components", SENSORS AND ACTUATORS A, ELSEVIER SEQUOIA S.A., LAUSANNE, CH, VOL. 82, NR. 1-3, PAGE(S) 245-248 XP004198270 ISSN: 0924-4247 * the whole document *	1	
A	DE 196 43 911 A (SICK AG) 7 May 1998 (1998-05-07) * the whole document *	1-3	
A	MOROZOV V N ET AL: "TOLERANCE ANALYSIS FOR THREE-DIMENSIONAL OPTOELECTRONIC SYSTEMS PACKAGING", OPTICAL ENGINEERING, SOC. OF PHOTO-OPTICAL INSTRUMENTATION ENGINEERS. BELLINGHAM, US, VOL. 35, NR. 7, PAGE(S) 2034-2043 XP000631029 ISSN: 0091-3286 * page 2034 - page 2036 *	1,5-7, 16,21	
			TECHNICAL FIELDS SEARCHED (Int.Cl.7)
The present search report has been drawn up for all claims			
Place of search MUNICH		Date of completion of the search 15 November 2002	Examiner Anderson, C
CATEGORY OF CITED DOCUMENTS			
X: particularly relevant if taken alone Y: particularly relevant if combined with another document of the same category A: technological background O: non-written disclosure P: intermediate document		T: theory or principle underlying the invention E: earlier patent document, but published on, or after the filing date D: document cited in the application L: document cited for other reasons & : member of the same patent family, corresponding document	

1

EPO FORM 1503 03.92 (P04C01)